

## **Customer Disclosure Statement** **SF Investments, Inc.**

The Company's plan considers two kinds of Significant Business Disruptions (SBDs), internal and external. Internal SBDs affect only the Company's ability to communicate and do business, such as a fire or loss electrical power in the office or building.

External SBDs prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a natural disaster, or another event that causes a wide-scale, regional disruption in essential services.

**Contact information:** Any questions regarding the Company's Business Continuity Plans should be addressed to: Steven Shapiro, 799 Central Ave. Suite 350 Highland Park, IL. 60035; (847) 926-5700.

**Internal SBDs:** In the event of a disruption in the Company's business operations due an internal SBD, the Company will attempt to continue to conduct business as usual by utilizing employee remote work capabilities, alternative communication methods (if available), such as the Internet, smart/cell phones, etc., or by moving its operations to an alternative location.

**External SBDs:** In the event of a disruption in the Company's business operations due to an external SBD, the Company will attempt to continue to conduct business as usual by utilizing employee remote work capabilities, moving its operations to an alternative location outside the affected area, if possible, or by providing customers with alternative arrangements.

The Company will resume normal business operations as soon as it is able to do so, based on the type and the extent of the disruptive event.

**Communications:** In the event you are unable to reach the Company, customers should proceed as follows:

1. Email: [operations@sfinv.com](mailto:operations@sfinv.com)
2. Call (847) 926-5700 or (800) 691-9273
3. Call Pershing (201) 413-3635 or visit the Customer Support section of the Pershing website.

All critical records related to the Company's business operations are backed-up daily and stored in a secure offsite location (RIA WorkSpace Microsoft Azure "Cloud" Platform). These back-up files can be used to restore Company systems to ensure that business can be back to normal as quickly as possible after the disruption.

The Company's clearing firm, Pershing, LLC, maintains a business continuity plan in the event of an SBD. For more information on their plan, visit their website at [www.pershing.com](http://www.pershing.com)